

Appl. No. 09/597,742  
Amdt. Dated May 30, 2004  
Reply to OA of December 30, 2003

**Listing of Claims:**

Claims 1-20 (Canceled)

21. (Currently Amended) A computer implemented method for use in producing a ranked list of investors according to an evaluation of the investors' performances relating to at least one transaction made by the investors involving investments associated with the investors, said method comprising the steps of:

retrieving a list of investors;

generating an evaluation list by removing investors failing to meet predetermined criteria from said list;

calculating, using a computer, a performance score for each investor listed on said evaluation list indicative of the investor's performance by considering an average historical performance of an investment following a transaction by the investor, a historical consistency of the investor's performances with respect to transactions involving the at least one investment, and the number of transactions made by the investor; and

calculating, for each investor using said performance scores, a final transaction score indicative of the investor's relative performance with respect to all investors on said evaluation list.

22. (Previously Presented) The method of claim 21, further comprising calculating a final transaction industry score indicative of the investor's relative performance with respect to other investors on said evaluation list participating in a same industry as the investor.

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23. (Previously Presented) The method of claim 22, further comprising producing said ranked list of investors according to said final transaction industry scores.

24. (Previously Presented) The method of claim 23, further comprising posting said ranked list on a computer system accessible via one or more data communications networks by other remotely located computer systems.

25. (Previously Presented) The method of claim 22, wherein said calculating said final transaction industry score comprises:

separating said investors into their respective industries;

ordering said investors in each industry into a performance score order;

dividing, for each industry having at least one-hundred investors, said investors into one-hundred substantially equally sized groups;

assigning a rank, ranging from one-hundred to one, to each group in each industry having at least one hundred investors, wherein a highest performing group in each industry is assigned a highest rank and the next highest performing group in each industry is assigned the next highest available rank and repeating until each group in each industry has been ranked;

assigning, in each industry having less than one-hundred investors, a rank, starting at a highest rank and decrementing by amounts equal to one-hundred divided by the number of investors in the industry, wherein a highest performing investor is assigned said highest rank and the next highest performing investor is assigned the next highest available rank equal to the previous rank minus the decremental amount and repeating until each investor has been ranked;

and

wherein said rank constitutes the final transaction industry score of each investor.

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26. (Previously Presented) The method of claim 21, further comprising producing said ranked list of investors according to said final transaction scores.

27. (Previously Presented) The method of claim 26, further comprising posting said ranked list on a computer system accessible via one or more data communications networks by other remotely located computer systems.

28. (Previously Presented) The method of claim 21, further comprising posting or providing access to investor and investment information on a computer system accessible via one or more data communications networks by other remotely located computer systems.

29. (Previously Presented) The method of claim 21, wherein said removing comprises at least one of: removing investors that are not people, removing investors affiliated with companies having a market capitalization of less than approximately fifty-million dollars, and removing investors that have entered into less than two transactions within approximately ten years of the evaluation or investors that have no transactions within approximately five years of the evaluation.

30. (Previously Presented) The method of claim 21, wherein said calculating said final transaction score comprises:

ordering said investors into a performance score order;

dividing said investors into one-hundred substantially equally sized groups if there are at least one-hundred investors on said evaluation list;

assigning to each group, if there are at least one-hundred investors on said evaluation list, a rank, ranging from one-hundred to one, wherein a highest performing group is assigned a

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highest rank and the next highest performing group is assigned the next highest available rank and repeating until each group has been ranked;

assigning, if there are less than one-hundred investors on said evaluation list, a rank, starting at a highest rank and decrementing by amounts equal to one-hundred divided by the number of investors, wherein a highest performing investor is assigned a highest rank and the next highest performing investor is assigned a rank equal to the previous rank minus the decremental amount and repeating until each investor has been ranked; and

wherein said rank constitutes the final transaction score of each investor.

31. (Previously Presented) The method of claim 21, wherein said investor is at least one of a corporate insider, an individual, a joint venture, a corporation, a trust, a partnership, or other investment entity.

32. (Previously Presented) The method of claim 21, wherein said calculating a performance score for each investor on said evaluation list comprises:

determining a first average return value (ave. return<sub>1</sub>) and a second average return value (ave. return<sub>2</sub>) for the at least one transaction, said first and said second average return values corresponding respectively to an average rate of return on the at least one transaction involving the investment for a first period of time (time<sub>1</sub>) and an average rate of return on the at least one transaction involving the investment for a second period of time (time<sub>2</sub>);

calculating, in absolute terms, a first t-stat value (t-stat<sub>1</sub>) for said first average return value and a second t-stat value (t-stat<sub>2</sub>) for said second average return value, said first and second t-stat values calculated by utilizing said first and second average return values, a first standard deviation (SD<sub>1</sub>) and a second standard deviation (SD<sub>2</sub>), a total number of transactions

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(decisions<sub>1</sub>) occurring more than or equal to the first period of time before said evaluating, and a total number of transactions (decisions<sub>2</sub>) occurring more than or equal to the second period of time before said evaluating;

calculating a first degree of freedom (DF<sub>1</sub>) for said first average return value and a second degree of freedom (DF<sub>2</sub>) for said second average return value;

determining a first probability (prob<sub>1</sub>) for said first period of time by utilizing said first t-stat value and said first degree of freedom, and a second probability (prob<sub>2</sub>) for said second period of time by utilizing said second t-stat value and said second degree of freedom;

generating a conditional raw score (cond. raw score) for the investor by utilizing said first and second probabilities;

generating an adjustment to the conditional raw score (adjustment) by utilizing said total number of transactions occurring more than or equal to the first period of time before said evaluating, and said total number of transactions occurring more than or equal to the second period of time before said evaluating; and

generating a raw score (raw score) indicative of said investor's performance by adding said adjustment to said conditional raw score.

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33. (Previously Presented) The method of claim 32, wherein if  $SD_1 = 0$ , then raw score = 0 otherwise

$$t \text{ stat1} = \frac{\text{ave.return1}}{\left( \frac{SD1}{\sqrt{\text{decisions1}}} \right)}$$

wherein if  $SD_2 = 0$ , then raw score = 0 otherwise

$$t \text{ stat2} = \frac{\text{ave.return2}}{\left( \frac{SD2}{\sqrt{\text{decisions2}}} \right)}$$

; wherein  $DF_1 = \text{decisions}_1 - 1$ ; and wherein  $DF_2 = \text{decisions}_2 - 1$ .

34. (Previously Presented) The method of claim 32, wherein said probabilities are determined according to a predetermined look-up table using actual calculated values of:  $DF_1$ ,  $DF_2$ , t-state, and t-stat<sub>2</sub>, unless:  $DF_1 > 100$ , in which case  $DF_1$  is set to 100;  $DF_2 > 100$ , in which case  $DF_2$  is set to 100; t-state > 20, in which case t-state is set to 20; t-stat<sub>2</sub> > 20, in which case t-stat<sub>2</sub> is set to 20; t-state < 0.01, in which case probe is set to 0; or t-stat<sub>2</sub> < 0.01, in which case probe is set to 0.

35. (Previously Presented) The method of claim 32, wherein

$$\text{cond\_raw\_score} = \left\{ \frac{1 - (.5 + \text{or} - \text{prob1}) + [1 - (.5 + \text{or} - \text{prob2})]}{2} \right\} * 100, \text{ wherein prob}_1 \text{ is subtracted}$$

from 0.5 if ave. return<sub>1</sub> > 0, else probe is added to 0.5; and wherein prob<sub>2</sub> is subtracted from 0.5 if ave. return<sub>2</sub> > 0, else prob<sub>2</sub> is added to 0.5.

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36. (Previously Presented) The method of claim 32, wherein

$$\left[ \begin{array}{c} \text{adjustment} = (-20) * \\ \frac{1}{\sqrt{\frac{\text{decisions1} + \text{decisions2}}{2}}} \end{array} \right]$$

37. (Previously Presented) The method of claim 32, wherein raw score = adjustment + cond. raw score.

38. (Previously Presented) The method of claim 21, wherein said list is generated from a database containing substantially all entities filing insider documents with the Securities and Exchange Commission.

39. (Previously Presented) The method of claim 21, wherein the average historical performance of the at least one investment is considered over two periods of time.

Claims 40-127 (Canceled)

128. (Currently Amended) A computer implemented system for use in producing a ranked list of investors according to an evaluation of the investors' performances relating to at least one transaction made by the investors involving investments associated with the investors, said system comprising:

means for retrieving a list of investors;

means for generating an evaluation list by removing investors failing to meet predetermined criteria from said list;

means for calculating using a computer, a performance score for each investor listed on said evaluation list indicative of the investor's performance by considering an average historical

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performance of an investment following a transaction by the investor, a historical consistency of the investor's performances with respect to transactions involving the at least one investment, and the number of transactions made by the investor; and

means for calculating, for each investor using said performance scores, a final transaction score indicative of the investor's relative performance with respect to all investors on said evaluation list.

Claim 129 (Canceled)

130. (Currently Amended) A computer implemented method for use in producing a ranked list of investors according to an evaluation of the investors' performances relating to at least one transaction made by the investors involving investments associated with the investors, said method comprising:

a step for retrieving a list of investors;

a step for generating an evaluation list by removing investors failing to meet predetermined criteria from said list;

a step for calculating a performance score for each investor listed on said evaluation list indicative of the investor's performance by considering an average historical performance of an investment following a transaction by the investor, a historical consistency of the investor's performances with respect to transactions involving the at least one investment, and the number of transactions made by the investor; and

a step for calculating, using a computer, for each investor using said performance scores, a final transaction score indicative of the investor's relative performance with respect to all investors on said evaluation list.